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ABSTRACT

In 2000, the Finance Project received a planning grant to launch a new initiative on financing professional development in education. This report reflects and summarizes what the Finance Project learned during the planning year about both traditional systems of professional development and reform efforts and how they are financed, focusing on preservice and inservice training. It highlights the role of finance in maintaining current systems and some of the key challenges of these systems that reform initiatives are attempting to address. Drawing on the "Profiles of Selected Promising Professional Development Initiatives," the paper also analyzes the financing strategies and challenges that leaders of several new types of professional development initiatives are grappling with in aligning financing with their reform goals, looking at federal or state policy initiatives, school district initiatives, initiatives developed outside the public schools, and partnerships. The paper concludes by outlining several major areas for further work on financing needed to support the burgeoning movement to improve professional development in education (understanding costs, aligning funding sources and financing strategies with initiative goals, building incentives for change, and learning from other systems). (SM)

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ISSUES AND CHALLENGES IN
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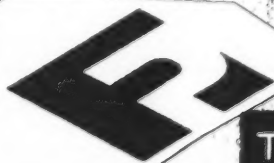
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**ISSUES AND CHALLENGES IN
FINANCING PROFESSIONAL DEVELOPMENT
IN EDUCATION**

June 2001

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TABLE OF CONTENTS

Preface	i
Introduction	1
Current Systems of Professional Development and How They are Financed	3
Pre-service Training	3
In-service Training	4
Issues and Challenges for Current Systems of Professional Development	5
Innovations in Professional Development and How They are Financed	7
Typology of Professional Development Initiatives	7
Financing of Promising Professional Development Initiatives	8
Federal or State Policy Initiatives	8
School District Initiatives	10
Initiatives Developed Outside the Public Schools	11
Partnerships	13
Issues, Challenges, and Directions for Further Work	15
Understanding Costs	15
Aligning Funding Sources and Financing Strategies with Initiative Goals	16
Building Incentives for Change	16
Learning from Other Systems	16

PREFACE

Professional development – including both pre-service and in-service training – is a critical component of the nation's effort to improve schools and student achievement. Key to ensuring that teachers, principals, and other educators have the knowledge and skills they need to meet the challenges of today's classrooms is ensuring that they have access to sustained, intensive professional development. Financing directly affects what professional development takes place, how it is made available, who participates, who pays, and what impacts it has. Thus, improving professional development in education will depend on better information about what various models of professional development cost, how cost-effective those investments are, what resources are available to finance professional development, and how financing strategies can help achieve education reform goals. It will also depend on an assessment of whether efforts to improve professional development could be enhanced by changing the ways in which it is financed.

To begin to address these issues, in April 2000 The Finance Project received a planning grant from the Ford Foundation to launch a new initiative on financing professional development in education. The Finance Project is a nonprofit policy research and technical assistance organization whose mission is to support decision making that produces and sustains good results for children, families, and communities by developing and disseminating information, knowledge, tools, and technical assistance for improved policies, programs, and financing strategies. Through research and development of tools and materials, The Finance Project continues to build its extensive body of knowledge and resources on how financing arrangements affect the quality and accessibility of education as well as other supports and services for children, families, and communities. The Finance Project also brokers information on financing issues and strategies to a broad array of audiences, and provides technical assistance to "reform ready" states and communities engaged in efforts to align their financing systems with their policy and program reform agendas.

The purposes of The Finance Project's Collaborative Research and Development Initiative on Financing Professional Development in Education are to:

- Create a better understanding of how much is spent on professional development in education and what those expenditures purchase
- Delineate how financing affects the quality and accessibility of professional development and the costs, cost burden, and cost-benefit of alternative approaches to the preparation and training of educators
- Develop new policy tools to help design and implement improved financing for professional development that is aligned with education reform strategies
- Develop a technical assistance capability to share information about financing issues and strategies and make technical resources available to state and local policy makers

and school officials who are engaged in efforts to reform financing for professional development.

During the planning phase of the initiative, The Finance Project began to identify and research critical issues in the financing of professional development in education by consulting with a wide array of relevant professional organizations, education researchers, advocates for teachers, principals, and other educators, higher education leaders, education reformers and professional development experts. Based on the input of these education leaders and with the oversight of an Advisory Group comprised of a diverse set of nationally-recognized education leaders, The Finance Project prepared the following series of products that lay the groundwork for further research, development, and technical assistance:

- *Profiles of Selected Promising Professional Development Initiatives*, which provides a base of program and financing information on 16 professional development reform efforts
- *Framing the Field: Professional Development in Context*, which examines what is known about effective professional development from both research and the profiles developed under this project
- *Cost Framework for Teacher Preparation and Professional Development*, which lays out a comprehensive framework for understanding the types and levels of resources involved in both pre-service and in-service professional development
- *Issues and Challenges in Financing Professional Development in Education*, which contrasts the financing strategies and challenges of new professional development initiatives with those embedded in traditional programs
- *Catalog and Guide to Federal Funding Sources for Professional Development in Education*, which identifies and analyzes 96 federal programs that can be used to fund professional development in education.

Each of these products adds to The Finance Project's working paper series on issues, options, and strategies for improving the financing of education, family and children's services, and community development. Each reflects the views and interpretations of its author or authors, and may lead to further exploration or refinement over time. Together, these products highlight the changing conceptualization of effective professional development in education and the array of promising new approaches that are emerging. They also significantly contribute to an understanding of the salient issues in financing professional development—including cost, available resources, and strategies for matching resources with education goals. Finally, they point to multiple directions for further research, development, and technical assistance to help build the capacity needed to advance effective reforms.

This paper, *Issues and Challenges in Financing Professional Development in Education*, reflects and summarizes a great deal of what The Finance Project has learned during this planning year about both traditional systems of professional development and reform efforts and how they are financed. It highlights the role of finance in maintaining current systems and some of the key challenges of these systems that reform initiatives are attempting to address. Drawing on the *Profiles of Selected Promising Professional Development Initiatives*, the paper also analyzes the financing strategies and challenges that leaders of several new types of professional development initiatives are grappling with in aligning financing with their reform goals. The paper concludes by outlining several major areas for further work on financing that is needed to support the burgeoning movement to improve professional development in education.

This paper was authored by Carol Cohen of The Finance Project. Ms. Cohen also managed the Collaborative Initiative on Financing Professional Development in Education during its planning year. The author would like to thank Project Director Cheryl Hayes, as well as her colleagues Peter Gerber, Jennifer King Rice and Robert Kronley, for sharing their knowledge and ideas throughout the course of this project. The Finance Project would also like to thank the members of the Advisory Group to the Collaborative Initiative on Financing Professional Development, especially chair Jack Jennings, for their extremely helpful guidance and direction. We are also grateful to the many education and professional development leaders who provided expert information, comments, suggestions, reviews, and other input into the project. I am grateful to all of these individuals for their contributions to the development of this paper and project.

Cheryl D. Hayes
Executive Director

INTRODUCTION

The professional development of teachers and other educators is critical to the nation's effort to improve schools and raise student achievement. To meet the challenges of today's classrooms and to teach to high standards, today's educators need high levels of knowledge and a broad range of skills. Key to ensuring that educators have the knowledge and skills they need is guaranteeing that they have access to both preservice and inservice professional development that is coherent and organized around standards for student achievement.

Over the past several years, President Bush, state policy makers, business and community leaders, professional educators and others have highlighted the role of teacher preparation and training in achieving this nation's education goals.¹ In addition, several research groups and professional organizations have undertaken efforts to better understand and define the characteristics of effective teacher preparation and professional development.² Emerging from this work is a changing conceptualization of what constitutes effective professional development. In general, the shift involves moving from an understanding of professional development as a district-driven, transmissive process using a menu of alternative activities (e.g., workshops, seminars, higher education courses) to an approach that emerges from local needs and interests, is continuous, job-embedded, and relevant to teachers, students, and the school community, and is open to a wide variety of methods (e.g., innovative uses of time to facilitate greater levels of teacher collaboration).³

An array of new professional development initiatives reflecting this changing conceptualization are being developed and implemented across the country. These include a variety of approaches and designs, such as whole-school reforms, district-level professional development initiatives, partnerships between K-12 and higher education systems, and state and federal policy initiatives. In other work conducted in the first year of the Collaborative Research and Development Initiative on Financing Professional Development in Education,

¹ See, for example, President George W. Bush, *No Child Left Behind*, Washington, DC, 2001; The Business Roundtable, National Alliance of Business, and National Association of Manufacturers, *Investing in Teaching*, 2001; American Association of State Colleges and Universities, *Call for Teacher Education Reform*, March 1999; National Education Goals Panel, *The National Education Goals Report: Building a Nation of Learners*, 1998; Business Coalition for Education Reform, *Improving the Quality of Teaching*, 1998; National Commission on Teaching and America's Future, *Doing What Matters Most: Investing in Quality Teaching*, November 1997; Carnegie Forum on Education and the Economy, *A Nation Prepared: Teachers for the 21st Century*, 1986; National Commission on Excellence in Education, *A Nation at Risk: The Imperative for Educational Reform*, 1983.

² Among these are Dennis Sparks and Stephanie Hirsh, *A National Plan for Improving Professional Development*, National Staff Development Council, February 2000; Education Commission of the States, *In Pursuit of Quality Teaching: Five Key Strategies for Policymakers*, Denver, CO, 2000; American Institutes for Research, *Designing Effective Professional Development: Lessons from the Eisenhower Program*, prepared for the U.S. Department of Education, Planning and Evaluation Service, Washington, DC, 1999; American Council on Education, *Transforming the Way Teachers are Taught*, Washington, DC, 1999; W.D. Hawley and L. Valli, "The Essentials of Effective Professional Development: A New Consensus", in L. Darling-Hammond, ed., *The Heart of the Matter*, San Francisco, CA: Jossey-Bass, 1998; Center for the Study of Teaching and Policy, *Policy and Excellent Teaching: Focus for a National Research Center*, Seattle, WA, 1998; The National Foundation for the Improvement of Education, *Teachers Take Charge of Their Learning: Transforming Professional Development for Student Success*, Washington, DC, 1996; National Commission on Teaching and America's Future, *What Matters Most: Teaching for America's Future*, New York, NY: 1996; The Holmes Group, *Tomorrow's Teachers: A Report of the Holmes Group*, East Lansing, MI, 1986.

³ Adapted from Jennifer King Rice, "Recent Trends in the Theory and Practice of Teacher Professional Development: Implications for Cost," paper prepared for the annual conference of the American Education Finance Association, March 11, 1999.

The Finance Project reviewed a number of promising professional development initiatives and prepared an analysis of success factors, based on research and information from the review.⁴

Financing directly affects what pre-service and in-service training opportunities are available, how they are provided, who participates, who pays, and what is learned. Funding for professional development comes from many sources—federal, state, and local public funding streams as well as private sources. Many individuals and institutions—including state departments of education, school districts, schools of education, and individual teachers—have opportunities to influence how it is allocated and used. The structure and administration of these funding streams and the actions of these various decision makers affects what is ultimately achieved with these resources.

For example, state funding that is allocated to districts may not adequately address local professional needs and priorities because of the amount of funds provided or the formulas used for distributing the money, requirements or restrictions on how the funds can be spent, or other disincentives to use the money to support the most relevant professional development. Similarly, state and district payments to state universities are likely to support activities that the university is comfortable providing rather than encouraging innovative practices that will effectively prepare and train teachers for real world classroom experiences. Though school systems and teachers themselves pay large sums of money for professional development each year, many experts suspect that current investments are not yielding optimum results. Thus, improving professional development will likely entail financing it differently.

Understanding how professional development is currently financed, as well as the financing approaches that are being used to support promising reforms, can help to support positive change. It is essential to appreciate how financing drives the provision of professional development if the incentives embedded in current financing systems are to be realigned with reform goals. This will likely require changing not only the content and form of professional development but also the institutional cultures in which it takes place. Recognizing what professional development truly costs—the types and amounts of resources that must be applied for effective implementation—is also critical to assessing various approaches and arraying needed resources. Knowledge of funding sources that are or can be used to support professional development is also key. And policy makers, program developers, and others need to be aware of financing challenges and barriers, as well as strategies available to overcome them, if their efforts to support professional development reforms with effective financing are to be successful.

This paper attempts to add to the understanding of the financing of professional development in education by contrasting the financing of new initiatives with that of traditional programs. It begins by describing traditional systems of pre-service and in-

⁴ Carol Cohen, Peter Gerber, Claire Handley, Robert Kronley, and Megan Parry, *Profiles of Selected Promising Professional Development Initiatives*, The Finance Project, June 2001; and Robert A. Kronley and Claire Handley, *Framing the Field: Professional Development in Context*, The Finance Project, June 2001.

service training and how these typically are financed, then notes some of the key issues and challenges embedded in these structures. Based on information from The Finance Project's review of 16 promising professional development initiatives, the paper then describes several types of reform initiatives, focusing on the financing incentives, funding sources, strategies, and challenges associated with each. The paper concludes by identifying a number of cross-cutting issues, challenges, and directions for improving the financing of professional development in education.

CURRENT SYSTEMS OF PROFESSIONAL DEVELOPMENT AND HOW THEY ARE FINANCED

The professional development of teachers and other educators typically occurs in two phases: pre-service training and in-service training. Traditionally, the two phases of professional development are delivered through separate systems, each with its own financing. This financing is integrally intertwined with the types, amounts, and quality of professional development that takes place and the results that are achieved.

Pre-service Training

Pre-service training in education, which generally includes instruction in an academic discipline, child development, and pedagogy, is traditionally conducted by colleges and universities as part of four-year undergraduate degree programs. Clinical training typically takes the form of 8 to 10 weeks of student teaching at a local school in the course of the education program. Recent reports have criticized many university-based education training programs for providing insufficient content and opportunities to link coursework with clinical experience. As a result, a number of new approaches extending academic programs, providing more intensive clinical training, and creating alternative routes to certification are emerging.

Teacher pre-service training is financed primarily by students through the tuition revenue they pay. Many take on substantial debt to finance their preparation for a teaching career. A limited amount of federal and state financial aid is available to help teacher candidates defray the costs of their pre-service training. Twelve federal programs assist students, primarily those from low-income or disadvantaged families, in supporting their post-secondary studies; one, the Federal Perkins Loan Cancellation program (budgeted at \$60 million in FY2001) specifically supports students preparing to teach in low-income schools or as a special education teacher.⁵ In addition, 27 states currently offer college scholarships or loan forgiveness programs to prospective teachers. In 1999, \$81 million was budgeted nationwide for these programs, which are typically targeted at attracting academically high performing and minority candidates into teaching.⁶

State funds subsidize teacher education programs in public colleges and universities.

⁵ Carol Cohen and Anya Freiman, *Catalog and Guide to Federal Funding Sources for Professional Development in Education*, The Finance Project, June 2001.

⁶ Eric Hirsch, Julia E. Koppich, and Michael S. Knapp, *Revisiting What States are Doing to Improve the Quality of Teaching: An Update on Patterns and Trends*, Center for the Study of Teaching Policy (University of Washington),

However, spending on teacher education programs is lower than that for training programs in most other professions⁷, and some universities have been criticized as treating their education schools as "cash cows," bringing in revenues which are then used to subsidize other schools and programs, including those which train doctors, lawyers, and accountants.⁸ Moreover, states historically have not imposed strong quality requirements on teacher training programs, relying more on certification and licensure requirements to ensure the qualifications of their graduates. Some states are beginning to strengthen the requirements and accountability accompanying state subsidies, for example, by encouraging teacher education institutions to focus more on demonstrations of teaching competence and, in some cases, closing programs whose graduates are unable to pass competency tests.⁹ Some financing for pre-service training is also provided by local school districts and teachers through the in-kind contributions they make in coordinating and supervising student teachers.

In-service Training

In-service training takes two primary forms. The first is district-based training, often delivered through day-long workshops in local schools. These workshops typically are coordinated by a state or local central education office and based on pre-packaged curricula, such as workshops intended to inform teachers of new state or district standards or policies. Participation is generally mandatory and fulfills state requirements for continuing certification. However, such training often has little connection to the challenges individual teachers face on a daily basis.¹⁰

Estimates of spending for in-service training range from less than 2 percent to more than 6 percent of district operating budgets.¹¹ This spending is typically covered by a combination of local, state, and federal funds. Locally-raised education revenues are primarily property taxes. State funding for in-service training typically comes from general state aid provided to school districts, to which states regularly attach requirements for professional development of teachers. These usually specify minimum amounts of training that must be accomplished to receive continuing certification, but more recently also target

February 2001, p. 25.

⁷ Richard Howard, Randy Hitz, and Larry Baker, "Adequacy and Allocation Within Higher Education: Funding the Work of Education Schools," *Educational Policy*, Vol. 14 No. 1 (January and March 2000), pp. 145-160.

⁸ National Commission on Teaching & America's Future, *What Matters Most: Teaching for America's Future*, September 1996, p. 14.

⁹ Hirsch, et al., op. cit., p. 7.

¹⁰ National Center for Education Statistics, *America's Teachers: Profile of a Profession 1993-94*. Washington, DC: US Department of Education, 1997.

¹¹ Killeen, K.K., Monk, D.H., and Plecki, M.L., "Spending on Instructional Staff Support Among Big City School Districts: Why are Urban Districts Spending at Such High Levels?" 2000; Miles, K.H. and Hornbeck, M., "Reinvesting in Teachers: Aligning District Professional Development Spending to Support a Comprehensive School Reform Strategy," New American Schools Strategy Brief, Resource Reallocation, Issue #3, 2000; Elmore, R., "Investing in Teacher Learning: Staff Development and Instructional Improvement in Community School District #2, New York City," Washington, DC: National Commission on Teaching and America's Future, Consortium for Policy Research in Education, 1997; Miller, B., Lord, B., and Dorney, J., "Staff Development for Teachers: A Study of Configurations and Costs in Four Districts," Education Development Center, Newton, MA: 1994; Moore, D.R. and Hyde, A.A., "Making Sense of Staff Development: An Analysis of Staff Development Programs and Their Costs in

certain professional development needs, such as a particular subject area or grade level.¹² Federal funds supplement state and local education funds primarily through block grants that are distributed by formula to qualifying jurisdictions (e.g., Title I, Eisenhower Professional Development State Grants, Special Education grants) and project grants (e.g., Comprehensive School Reform, Reading Excellence, bilingual education) for which grantees apply competitively. Coordination of these funding sources to finance the training, including ensuring compliance with the requirements accompanying each source of funding, occurs primarily at the school district level.

The second traditional form of in-service training is graduate coursework provided by institutions of higher education that is undertaken by teachers or other educators seeking advanced degrees. This coursework is generally aligned with uniform state and district requirements for teachers and administrators, and in many cases it follows standardized curricula. It is financed similarly to pre-service training, that is, primarily through out-of-pocket tuition payments and state institutional support; in some cases, school districts provide some tuition reimbursement. However, teachers who earn advanced certification or degrees through such coursework are usually eligible for additional pay in the form of higher future earnings and retirement benefits, which are paid by school districts out of general education funds. Although there is disagreement about whether this additional compensation should be considered a cost of professional development, one study estimates these amounts at more than one and a half times districts' expenditures on other forms of professional development.¹³

Schools, districts, states, institutions of higher education, and others have begun to develop and implement a wide variety of new forms of in-service professional development which attempt to better support and enhance the capabilities of educators at various stages in their careers in ways that are relevant to their needs and to schools' educational goals. Such initiatives range from creating induction support programs for new teachers to restructuring district professional development systems to forging partnerships between school districts and institutions of higher education to work towards a more seamless system of pre-service and in-service professional development. As these new forms of professional development diverge from traditional district- and university-based systems, new types of costs and configurations of funding sources and financing mechanisms become involved.

Issues and Challenges for Current Systems of Professional Development

As policy makers and education leaders look to professional development to help improve the quality of teaching and boost student achievement, the current structure and financing of

Three Urban School Districts," *Designs for Change*: Chicago, 1981.

¹² James G. Ward, Edward P. St. John, and Sabrina W. M. Laine, *State Programs for Funding Teacher Professional Development*, North Central Regional Educational Laboratory, August 1999, pp. 2, 10; Hirsch et al., *op. cit.*, pp. 8, 40.

¹³ Little, J.W., Gerritz, W. H., Stern, D. H., Guthrie, J.W., Kirst, M.W., and Marsh, D.D., *Staff Development in California: Public and Personal Investments, Program Patterns, and Policy Choices*, Policy Analysis for California Education (PACE) and Far West Laboratory for Education Research and Development (Policy Paper #PC87-12-15, CPEC), San Francisco, CA, 1987.

pre-service and in-service training present a number of issues and challenges:

- The need to connect professional development to desired outcomes. Neither traditional systems of pre-service training nor in-service training are strongly driven by goals for effective teaching and high student achievement. The financing of these systems reinforces this disconnect. As noted above, state subsidies to university pre-service training programs generally do not carry requirements or strong incentives to gear them to high teaching and learning standards. Neither do student tuition payments for pre-service programs create a demand for high-quality programs, so long as admission requirements remain relatively low and teaching positions can be easily obtained. Likewise, the combination of state general education aid, diverse federal funding streams, and local funds that are currently used to support in-service professional development creates a fragmented system of program, funding, and accountability requirements. At the same time, vested interests in traditional forms of professional development—one-size-fits-all workshops and salary credits earned at individuals' initiative—make it difficult to reform systems to foster the creation and implementation of professional development opportunities that connect educators' knowledge and skill needs with school and district goals. Reorganizing pre-service and in-service professional development around desired goals will require careful attention to reforming financing structures in ways that effectively support these goals.
- Alignment of practices with principles of effective professional development. Principles for effective design of professional development are emerging from research and practice.¹⁴ These include, for example, that professional development should be of extended duration, job-embedded, collegial, connected to the day-to-day questions and challenges that teachers confront, and based on proven theories of adult learning with input from teachers themselves. Yet much of current professional development is not aligned with these principles. Instead, it is one-time, unrelated to teacher needs, designed by central administrators, and so forth. Reforming professional development in ways that are consistent with the emerging understanding of effective practice may require far-reaching changes in education systems, such as creating partnerships between institutions of higher education and school districts, restructuring teachers' school days or school years, and changing compensation systems. Changing professional development practices and school culture in such potentially radical ways will require accompanying changes in financing, including finding and allocating time and other required resources, and revamping budgeting and accountability mechanisms.

¹⁴ See Kronley and Handley op. cit. for a summary and discussion of such principles.

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- Making adequate investments in professional development. Several factors point to the likelihood that additional investments will be required to achieve the higher levels of teaching and learning sought through professional development reforms. For example, the low levels of public spending on schools of education compared to other fields and the reliance on individuals to contribute their own time and money to pay for professional development suggest overall levels of underinvestment that contribute to the inadequate quality and uneven distribution of training across the profession. Directions for reform of pre-service programs point to longer and more intensive programs (such as the inclusion of more extensive clinical experience, five-year undergraduate programs, or one- to two-year graduate level programs) and for in-service training to more continuous, in-depth learning and skill-building opportunities that are likely to be more costly. Finally, the need for professional development is likely to remain high because of teacher shortages, typically high levels of teacher turnover, and the emerging understanding that improving teacher practice and student achievement requires continuing and deepening professional development over time. In other words, not only are reform efforts likely to be more expensive, large economies of scale are unlikely as effective practices are sustained and brought to scale.

INNOVATIONS IN PROFESSIONAL DEVELOPMENT AND HOW THEY ARE FINANCED

Policy makers and education leaders across the country from both the public and private sectors are designing and implementing a variety of new professional development policies and programs. Many of these initiatives attempt to address some of the challenges noted above and to incorporate principles of effective professional development design. While current efforts are isolated and often piecemeal, many hold significant promise for improving teacher practice and educational outcomes for students.

As part of the planning work for the Collaborative Research and Development Initiative on Financing Professional Development in Education, The Finance Project collected information on and prepared profiles of 16 promising professional development initiatives.¹⁵ This analysis draws on that base of information to create a typology of initiatives and to describe the financing of these various types of policy and program reforms.

Typology of Professional Development Initiatives

The 16 initiatives can be categorized into four broad types. These are:

- Federal or state policy initiatives to support or improve professional development. These include one federal program, the Eisenhower Professional Development State Grants program, and two state initiatives: Connecticut's BEST (Beginning Educator Support and Training) and TEXTEAMS (Texas Teachers Empowered for Achievement in Mathematics and Science).

¹⁵ Cohen et al., op. cit.

- School district initiatives to internally reform parts or whole systems of professional development administered by the district. The district-wide reform initiatives are those of Aurora Public Schools and New York City District #2. St. Paul's Leadership Institute for aspiring principals is also included in this category.
- Initiatives developed outside the public schools. This category includes four privately-developed models for comprehensive school reform or professional development in schools, namely Different Ways of Knowing, Edison Schools, Success for All, and National Writing Project. It also includes programs of two institutions that offer courses or other professional development directly to individuals: the Harvard Principals' Center and North Carolina Association of Educators.
- Partnerships between multiple stakeholders in the education system who have come together around reforming systems of professional development or related education reforms. These are higher education-school district partnerships including the Southern Maine Partnership, Long Beach Education Partnership, and Los Angeles area DELTA (Design for Excellence: Linking Teaching and Achievement). Also included is Making Middle Grades Matter, a foundation-funded initiative led by the Southern Regional Education Board and involving 13 states and 40 schools.

This typology is organized around the sponsors or key actors in the initiatives. While it is also possible to group the initiatives along a variety of other dimensions, focusing on this aspect of their structure is useful for thinking about financing because it highlights the key individuals and institutions who make or influence financial decisions. The typology may need to be revised or expanded to include different or additional categories as more initiatives are added to the scan.

Financing of Promising Professional Development Initiatives

This section outlines key aspects of the financing of each of these four types of promising professional development initiatives. The analysis focuses on the costs, funding sources, and financial incentives, strategies and challenges for the initiatives in each group.

Federal or State Policy Initiatives

In this set of initiatives, federal or state policy makers provide program and/or funding authority for professional development activities. Three different funding and service delivery mechanisms are represented: The federal Eisenhower Professional Development program provides grants to others to develop and deliver professional development (funding is provided initially to states, then passed through to districts and institutions of higher education); Connecticut BEST represents a mandate for certification of new teachers that is accompanied by partial funding to help districts support professional development activities associated with achieving that certification; and TEXTEAMS funds a program of direct state provision of professional development in support of Texas' education standards.

Recipients of funding from specific policy initiatives, such as state entities or local school districts, are often able to combine these funds with other resources to fund a broader set of professional development activities, so long as they adhere to the legal requirements governing the use of each funding source. For example, in many school districts, Eisenhower funds are combined with other sources of funding, such as Title I and the Urban or Rural Systemic Initiatives of the National Science Foundation, to pay for a broad range of professional development activities.¹⁶ The Charles A. Dana Center operates the TEXTEAMS initiative through a cooperative agreement with the National Science Foundation, Texas Education Agency, and Eisenhower Professional Development Act, which also fund the initiative.

Incentives for initiating and sustaining policy initiatives reflect an array of political considerations. The level of resources for such initiatives is determined through governmental appropriations processes, and thus may be driven more by vocal special interests than by the cost of achieving the goals of the initiative. For example, the Eisenhower program saw its appropriation increase from \$335 million to \$485 million between fiscal years 2000 and 2001, enabling higher grant payments to states. However, funding for Connecticut BEST fell from \$10 million annually in the first several years of the program to \$3.6 million per year since the early 1990s, requiring significant cutbacks from its initial levels of development, training, and other capacity-building activities. Thus, a challenge to sustaining effective policy initiatives is developing and keeping the political support necessary to maintain and grow appropriations over time. This is important so that those receiving the funding can anticipate a relatively reliable and stable source of funding in planning the financing of their professional development activities.

In addition, a major financing challenge for federal and state policy makers is to ensure that an initiative's design is aligned with its goals and the larger context of improvements in professional development. Policy makers must consider the form (for example, grants, mandates, direct provision of service) as well as the conditions (e.g., eligible recipients, reporting requirements, model for direct service delivery) under which the resources will be provided. These parameters will determine, for example, the narrowness or breadth of purposes or practices for which the funds can be used, the degree of flexibility grantees have in making decisions to allocate or combine the program's funds with others, and the ways in which program leaders are held accountable for the use of funds. For example, in order to encourage the provision of high-quality professional development, the 1994 reauthorization of the Eisenhower program strengthened requirements for grantee planning, alignment, and coordination of Eisenhower funds with other state and local professional development programs, at the same time it expanded the allowable uses of the funds. President Bush's current education proposals take a different tack, giving states greater flexibility by combining several federal programs that support professional development (including the

¹⁶ U.S. Department of Education, Office of the Under Secretary, *Designing Effective Professional Development: Lessons from the Eisenhower Program* (prepared under contract by The American Institutes of Research), Washington, DC, December 1999.

Eisenhower program) and other education programs into block grants, in exchange for the states assuming accountability for achieving agreed-upon educational results.

School District Initiatives

The school district initiatives discussed here include two which aim to reform whole systems of district-run professional development (New York City Community District #2 and Aurora Public Schools) and one which creates a new training program that is required for those seeking principalships in the district (St. Paul Public Schools Leadership Institute). Each of these reforms is based in the efforts of district leadership to improve the capabilities of the district teaching and/or administrative staff in line with a district mission or state and district education standards that aim to raise student achievement. Aurora's professional development offerings were redesigned to support district-developed content standards and learner outcomes; New York City District 2's system is built around a mission and philosophy of improving teaching and learning through professional development; and St. Paul's Institute is designed to prepare principals in line with the district's standards-based reform efforts.

Costs for the district initiatives—the resources required to implement the initiative—are usually presented by program leaders in terms of budgeted amounts. Program leaders reported costs for the two district-wide initiatives as approximately 2 percent of the operating budget for Aurora and 8 percent for District 2. St. Paul reported a budget figure for its Leadership Institute of \$300,000; however, this amount excludes the value of all the in-kind resources the district contributes to the initiative, such as clerical support, use of facilities, and staff time (other than the Director's) for program development, which also add to its cost.

Funding for the two district-wide initiatives comes from a variety of sources. Federal funding includes formula grants (e.g., Title I, special education funding) as well as grants for which districts apply competitively (for example, District 2 receives a grant from the National Science Foundation which it uses to support professional development in mathematics). State funding streams are primarily general education allocations, although special state mandates or funding streams are also possible. For example, Aurora noted that mentoring for new teachers is mandated by state law but no additional funding is provided; this puts the financial burden for compliance on local districts. Local revenue streams include general tax revenues (across the country, these are primarily property taxes) as well as dedicated revenues, such as a one-time payment Aurora received due to the opening of the Denver airport and revenues that District 2 gains from selling professional development services to other districts. Funding for St. Paul's Leadership Institute comes primarily from foundation grants, supplemented by the district's in-kind contributions.

School districts must access and coordinate these diverse funding sources in ways that support their professional development goals. Each federal and state program has purposes and requirements that must be satisfied, and some provide more flexibility than others. Officials in District 2, for example, noted that, in general, state funds were less flexible than federal funds, and state mandates regarding English-language learners required the district

to funnel resources away from alternative approaches they thought more effective. District 2 appears to maximize flexibility in its grant funding by carefully matching specific categorical funding streams to its professional development plans. Both District 2 and Aurora also appear to have reallocated funds to make better use of existing resources, as they have made major shifts in their spending priorities to accompany their professional development reform goals.

Finding adequate funding to continue and deepen their reform efforts is an ongoing challenge for the districts. Aurora officials, for example, noted that they do not expect to see any slowdown in the district's professional development expenditures because of its overall growth, a school population that is continuing to become more diverse, and teacher turnover resulting in the need to train new teachers as they are hired. St. Paul officials want to continue to operate and expand the Leadership Institute, but face the end of both foundation grants supporting the initiative. Each of the districts recognizes the importance of being able to demonstrate positive results to the continued funding and sustainability of their initiatives. Aurora, for example, has recently begun to integrate data-driven instruction into its professional development, while St. Paul is gathering data on student achievement, among other measures, in schools with the new principals. Additional financing strategies that the districts are making use of include seeking new sources of grant funding and selling professional development services to others, as District 2 is doing. Aurora engages in decentralized budgeting—allocating funding for professional development to every department and school—in hopes that this will make it more difficult politically to make major cuts in funding for professional development.

Initiatives Developed Outside the Public Schools

In contrast to state or federal policy initiatives and school district initiatives, the developers and operators of this set of initiatives are external to public school systems. They may be independent non-profit organizations, like Success For All (SFA) and Different Ways of Knowing (DWoK); university-based non-profits, such as the National Writing Project (NWP) and The Principals' Center at Harvard University; a union, as is the North Carolina Association of Educators (NCAE); or a private, for-profit business such as Edison Schools. These initiatives are developed outside of the public schools, but offer professional development models, products, and services to districts, schools, and/or individual educators, including 1) models for comprehensive school reform—including a significant professional development component—that are packaged in terms of curricula, materials, and services for purchase by schools (e.g., DWoK, Edison Schools, SFA); 2) training in a particular subject area and/or using a particular approach that is marketed to school districts (NWP); or 3) courses or other professional development experiences that are targeted directly to individual educators (e.g., Harvard Principals' Center's institutes; NCAE's workshops, mentoring, and other assistance for teachers seeking certification by the National Board for Professional Teaching Standards). All fill a need on the part of schools or individuals for outside support and are sustained because there is a market demand for their offerings. A key example is the NCAE program which fills a gap, created by state incentives for teachers

to pursue National Board certification, between the need for and availability of support to teachers undertaking the certification process.

These initiatives have generally relied on private investments or public and philanthropic grants for start-up capital and to fund ongoing research and development. For example, Edison Schools was capitalized by private investors seeking a profit return; SFA and NWP primarily by university funds and in-kind contributions and/or government grants; DWoK by philanthropic funds. The same sources fund research and development for each initiative, except SFA is now independent of university support and DWoK now also seeks government funds to help support R & D. SFA and other comprehensive school reform models also received some development funding for a period from New American Schools, which is supported by corporate philanthropy.

Operating costs, such as salaries for trainers and payments for the production of materials—typically the bulk of expenses—are generally funded out of revenues from the sale of products and services. For example, SFA, DWoK, and Edison Schools cover most of their costs through contracts with schools. Prices paid by average-size elementary schools range in the first year from about \$80,000 for SFA to \$95,000 for DWoK; Edison negotiates an amount roughly based on total per pupil funding. The Principals' Center also covers most of its costs through the prices it charges for its offerings: approximately \$1,750 to \$1,900 for 5-10 day summer institutes and from \$400 to \$500 for 1-2 day sessions during the academic year. Local affiliates of the National Writing Project charge negotiated amounts for their services to local school districts.

Prices charged to participants may be subsidized in various ways. For example, NCAE is able to offer its services generally free of charge by financing the program out of both budgeted and in-kind union resources as well as a large amount of volunteer time. Twenty-five percent of the contract price for schools participating in DWoK is expected to come from private or public grants raised jointly by the school or district and DWoK's sponsoring organization, the Galef Institute.

These initiatives—social ventures located outside the public sector—face the challenges of operating and expanding through market-based mechanisms. These challenges include pricing products and services so that the target market can take advantage of them, while still covering the initiative's full costs. They also involve finding adequate and stable funding for research and development in order to continually improve offerings and respond to the needs of the field. Funding for this purpose is difficult to recover through operating costs, and as a result is often funded by time-limited grants. Such challenges are particularly difficult when the targets of these professional development initiatives include districts, schools, or individuals that may be especially high-cost or have an especially low ability to pay. Edison Schools, for example, does not contract with schools where per pupil funding is significantly below the national average because of the company's goal of operating each of its schools profitably.

To successfully finance and sustain professional development initiatives outside of school systems, leaders of these initiatives need an understanding of private-sector financing

that is sufficient for their initiative. While the issues will vary in complexity depending on the size and scope of the initiative, key questions include:

- What are the true costs of the initiative (the type and amount of all resources that are required) and how do these costs change under different conditions (for example, to what extent can economies of scale be achieved)? Where do various products and services fall along the spectrum of cost-effectiveness?
- What sources of revenue are available? What is the projected market demand? What competitors, affordability, or others market barriers does the initiative face? What other sources of funding (e.g., grants) can be tapped, how, and for what?
- What is the desired return from the initiative? Over what time period? How should the return be measured (for example, in profits, customers, results)?
- What revenues are needed to cover costs and produce the desired rate of return? How should products and services be priced to produce the desired level of revenues?

The initiatives in this group vary widely in their degree of financial sophistication. However, several noted the importance of understanding and being able to apply business financing concepts. The director of Success for All, for example, noted that when the organization became independent of the university, management had to quickly get up to speed on issues of financing. Likewise, recognizing the importance of financing to the entrepreneurial success of its local writing projects, the National Writing Project provides trainings for new project directors on financial management.

Partnerships

The initiatives in this group, three higher education/K-12 partnerships and one foundation/state-level/school partnership, are distinguished from others primarily because of their multiple sponsors and key actors. In each case, key education stakeholders have come together around an agenda of common concern and work together towards common goals or objectives. For example, DELTA involves numerous Los Angeles-area entities—including California State Universities, school districts, teacher unions, foundations, and education reform organizations—in an effort to improve teacher professional development at all levels. In Making Middle Grades Matter (MMGM), 40 schools and 13 states work with the Southern Regional Education Board (SREB) to implement a foundation-sponsored initiative to accelerate student achievement in the middle grades. As partnerships, members of these initiatives also share in decision making and management. For example, the leadership of all three institutions comprising the Long Beach Education Partnership—the state university, community college, and school district—participates in decisions regarding the strategic development of the partnership, as well as approves and provides resources for the

partnership. While each partnership was catalyzed by a unique local process or organization—for example, the Long Beach Education Partnership grew out of a community assessment and planning process, while DELTA was initiated because the Los Angeles Annenberg Metropolitan Project (LAAMP) brought the relevant parties to the table—the partnerships are similar in that the current partners remain committed because they see a mutual benefit.

A hallmark of these initiatives is that they involve shared financing; that is, all partners contribute resources. These contributions may be in-kind (e.g., in the form of leadership, time, or technical expertise) as well as in money. For example, each of the three collaborating organizations in the Long Beach Education Partnership provides staff time and other in-kind resources to support its partnership activities; in addition, the school district budgets for salaries and other costs of core Partnership staff. School districts in the Southern Maine Partnership pay dues to support the Partnership; in-kind support comes from the University as well as in the commitment of members to participation in all Partnership activities, such as information sharing and research. In each of these partnerships, external foundation support also plays an important role—in the Long Beach and Southern Maine partnerships mostly for particular projects, but in DELTA and MMGM for core support.

Partnership initiatives face several financing challenges. One is creating a viable structure for the partnership that will enable its members to continue their joint work. DELTA, for example, whose initiation and activities were strongly supported by LAAMP, is reorganizing due to the expiration of LAAMP and several grants. DELTA will become part of another education reform organization, rather than an independent entity associated with LAAMP. Whether and how the partnership's new structure will affect its ability to maintain and expand its work remains to be seen. DELTA's leaders hope that plans set in place prior to the reorganization will enable partnerships between "school families" (the schools in a K-12 feeder pattern) and the local state university to continue on a self-funded basis and to attract new funds to support startup in additional school families.

Going hand in hand with a sustainable partnership structure is finding adequate and stable funding to support core operations. Funding to support activities such as planning, coordination, and administration is essential to any successful partnership, but especially to those whose members come from different agencies and organizations striving to forge better connections and coordination. Funding for core support can be difficult to obtain because it competes with funding for more visible uses such as direct training. While DELTA and MMGM rely on outside sources for core funding, the Long Beach and Southern Maine partnerships raise core funding from the partners themselves. A danger of the former strategy is the insecurity that often comes with relying on external funds. For this reason, the Long Beach Education Partnership now operates and funds its management function out of the school district rather than as an independent nonprofit organization. Funding core operations internally, however, puts pressure on the partners to come up with additional resources, a consideration that the Southern Maine Partnership is well aware of as it moves toward raising dues and more cost-sharing with its members as part of its growth strategy.

Yet another financing challenge for partnerships is securing and maintaining funding for specific projects. In the four partnership initiatives, these are often funded out of time-limited external grants. For example, the Southern Maine Partnership funds nearly all of its activities (excluding its "open invitation" events funded out of member dues) from one large federal grant and several smaller foundation grants. These include its Electronic Learning Marketplace (an interactive website resource), Instructional Improvement Through Inquiry and Collaboration (a classroom-based action research project) and Learner-Centered Accountability Project (which helps high schools develop achievement-oriented accountability systems). Likewise, the Long Beach Education Partnership relies on \$4 million in grant funds to support specific initiatives undertaken by each of the three partners. However, the loss of one or more grants can threaten the continuity of a project or even an entire initiative, thus potentially limiting or erasing the benefits of the reform effort to the partners, community, and field. For example, foundation funding for SREB's Making Middle Grades Matter initiative, which is currently being implemented in 40 schools across 13 states, will end in 2002. SREB recognizes that the middle schools it is working with need longer-term assistance and that the research and dissemination components built into the initiative can serve states across the country, but it will need to raise new funds to sustain its work in this area.

ISSUES, CHALLENGES, AND DIRECTIONS FOR FURTHER WORK

This preliminary analysis illustrates a number of important issues and challenges for supporting improved professional development. It also points to directions for further work that is needed to support policy makers and program leaders undertaking professional development reforms.

Understanding Costs

To sustain, expand, and replicate promising initiatives, policy makers and program leaders need to know what they cost—that is, the full amount of resources required to implement them. They need to have a complete understanding and measure of all the elements and types of cost involved, the total costs of initiatives and of the various activities embedded in them, and how costs change over time. As described above, many of the initiatives profiled had a poor or incomplete handle on costs, relying instead on alternative measures such as budgeted amounts and often neglecting the value of in-kind contributions. Decision makers need a clear framework for identifying all the elements of cost for both preservice and inservice professional development in order to support reforms. Such a framework could help decision makers better understand the costs of traditional systems as well as reforms and consider how resources may need to be reallocated to support their professional development goals. The framework could also be applied by researchers to develop better information on the true costs of various initiatives that could serve as models for others, and lead to the creation of budgeting and related tools for assessing the resource implications of alternative approaches.

Aligning Funding Sources and Financing Strategies with Initiative Goals

Being able to access adequate funding and use it strategically to support professional development goals is critical to sustaining and scaling up proven or promising reform efforts. In general, from this analysis of promising professional initiatives it appears that those that are able to diversify their funding sources and employ a wider array of financing strategies are in a better position to support their work and sustain it over time. Thus, to maximize the success of particular initiatives, reform leaders need to be aware of the full array of potential resources for supporting professional development in education and of the financing strategies for making the best use of those resources. The development of a body of information on relevant financing sources and strategies and their applicability to various types of professional development initiatives is critical to supporting such reform efforts. In addition, wide dissemination of this information as it is developed can also help to support positive change in the field as a whole

Building Incentives for Change

Resources beyond funding are needed to initiate, implement, and sustain change in professional development. Other factors that are critical to effective change include, for example, political leadership, public support, and organizational capacity. Incentives for new forms of professional development must be reflected in these system elements, just as financing incentives must support reform goals. The task of building incentives for change in professional development is especially important because traditional systems are deeply entrenched and because the reform movement is still young. Information collected for this project begins to illustrate the range of actors and incentives involved in reforming professional development. Much more work needs to be done to highlight and disseminate examples and other information on what strategies have been and can be used successfully to build incentives for positive change.

Learning from Other Systems

Professional development in education may have relevant analogies in many other systems. These include other professions, such as medicine, law, and business, as well as systems of education in other countries. Reformers of professional development in education could gain considerable insight and potential models for reform from the study of professional development in various other systems. It may be instructive, for example, to look at professions like nursing or computer engineering that have recently experienced sharp increases in demand for highly qualified personnel, or countries like Japan that have high levels of student achievement and are recognized for their approaches in professional development. Such study could yield important lessons about alternative designs of professional development—for example, how academic training is structured, how clinical training is accomplished, what forms inservice professional development takes, how technology is used. It can also inform our understanding of critical financing issues, such as accepted levels of investment in professional development, the measurement of costs and benefits, and the effects of alternative financing structures.

**ADVISORY GROUP TO THE COLLABORATIVE RESEARCH AND DEVELOPMENT
INITIATIVE ON FINANCING PROFESSIONAL DEVELOPMENT IN EDUCATION
(AS OF JUNE 2001)**

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ABOUT THE FINANCE PROJECT

The Finance Project is a non-profit policy research, technical assistance and information organization created to help improve outcomes for children, families, and communities nationwide. Its mission is to support decision making that produces and sustains good results by developing and disseminating information, knowledge, tools and technical assistance for improved policies, programs, and financing strategies. The Finance Project's work is concentrated in several areas:

- **Financing issues and strategies** related to education, family and children's services, and community building and development;
- **Results-based decision-making**, including planning, budgeting, management, and accountability;
- **Community supports and services** that reach across categorical boundaries and the public- and private-sectors to effectively link health care, education, family support, income security, and economic development;
- **Improved governance and collaborative decision making**;
- Planning and implementation of **comprehensive welfare and workforce development reforms**; and
- Development of **Internet-based capacities** for sharing critical information on the design and implementation of effective policies and programs.

Established in 1994, The Finance Project is a valuable intellectual and technical resource to policy makers, program developers and community leaders, including state and local officials, foundation executives, academic researchers, service providers and advocates who:

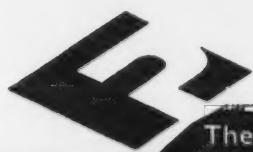
- **Seek creative ideas** for policies, programs and system reforms and effective policy tools to implement them;
- **Need information about what is occurring elsewhere**, how it is working and why; and
- **Want practical, hands-on assistance** to advance their reform agendas.

The Finance Project's products and services span a broad continuum from general foundation knowledge about issues and strategies to customized resources and intensive, hands-on technical assistance. They encompass efforts to cumulate knowledge and build the field over time as well as time-sensitive projects to address immediate challenges and opportunities, including:

- **Knowledge development** — gathering, assembling and analyzing data from numerous sources to advance theory and practice.

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- **Policy tool development** — developing tools and other “how to” materials to support the implementation of promising policies, practices and systems reforms, including financing strategies.
 - **Information brokering** — organizing and presenting research findings, technical assistance tools and information about the implementation and impact of promising policies, programs and practices.
 - **Technical assistance** — providing and coordinating direct assistance to state and local decision makers on the design and implementation of policy, program and system reforms.
 - **Program management** — helping foundation executives manage large, multi-site initiatives by providing and brokering technical assistance to the sites, monitoring their progress and serving as liaison between the sites and the foundations.

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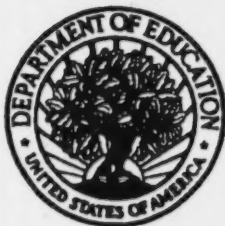
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